

DD/M&S Registry
File Records

20 AUG 1974

MEMORANDUM FOR: Agency Records Management Officers

SUBJECT : Micrographics Bulletin - No. 2
Federal Microfilm Standards

STAT

1. [] states that Agency components utilizing micrographics will adhere to the Federal Standards for the use of microfilm in the preservation of archival and vital records.

2. The attached FPMR Amendment B-21 sets forth those standards.

3. The following subparts are condensed to make them easier to understand:

101-11.503-1 The RMO shall request the item(s) in his RCS be revised to provide for the destruction of hard copies of his permanent records after they have been microfilmed.

- 101-11.503-2
- a. The silver original camera negative, plus a positive copy will be sent at once to the Agency Archives personnel.
 - b. Microfilm will be sufficiently indexed for quick location and retrieval by Agency Archives personnel.
 - c. Each reel or identifiable batch will be forwarded by transmittal memorandum containing this statement: "The microfilm listed below was produced in the normal course of Agency operations and care has been taken to insure that it is a complete and accurate copy of the original records." The transmittal will be signed by an Agency official.

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101-11.505 The silver original camera negative shall never be used for reference purposes. A diazo, vesicular, or silver positive copy will be used for reference.

- 101-11.507 a. Temporary records which are to be retained for ten or more years will be handled similarly to permanent records and should be sent at once to Vital Records (not Agency Archives) for safe-keeping.
- b. There are no Federal Standards for records retained less than ten years.

4. The above condensation should provide sufficient guidelines for most purposes. If not, the attached FPMR covers in detail the standards to be followed in microfilming records.

SIGNED

Acting Chief
Information Systems Analysis Staff

STAT

Attachment: a/s

APPROVED:

STAT

for John F. Blake
Deputy Director
for
Administration

20 Aug 1974

Date

DDA/ISAS/MPB:LLN:j1b (19 Aug 74)

Distribution:

- Orig - MPB
1 - each Agency RMO
1 - ISAS
2 - DDA *Chrono* *Subject*

GENERAL SERVICES ADMINISTRATION
WASHINGTON, DC 20405

February 3, 1972

FEDERAL PROPERTY MANAGEMENT REGULATIONS
AMENDMENT B-21

TO: Heads of Federal Agencies

SUBJECT: Revision of Subchapter B- Archives and Records

1. Purpose. This amendment transmits revised pages to Subchapter B - Archives and Records.
2. Effective date. This amendment is effective upon publication in the Federal Register.
3. Background. Heads of Federal agencies were notified by General Services Administration Circular No. 326, of January 21, 1964, of the discovery of blemishes on processed negative microfilm. Authority to dispose of microfilmed permanent records granted by Title 3, Federal Records, Regulations of the General Services Administration, was withdrawn for new projects by FPMR amendment B-1, December 22, 1964. GSA Bulletin FPMR No. B-2, July 9, 1965, called attention to National Bureau of Standards (NBS) technical reports and suggested actions agencies could take pending final reports by NBS and the drafting of new regulations. NBS has completed its investigation and has recommended certain changes in processing and storing microfilm.
4. Explanation of changes. These regulations reestablish agency authority to dispose of permanent records if they have been microfilmed. Procedures to be followed when requesting authority to dispose of microfilmed permanent records are shown in § 101-11.503. Standards for microfilming permanent records are prescribed in § 101-11.504. Criteria for using microfilm copies of permanent records are given in § 101-11.505. Standards for storing microfilm copies of permanent records are shown in § 101-11.506. Standards for microfilming nonpermanent records are prescribed in § 101-11.507. Microfilm services available from the various installations of the National Archives and Records Service are explained in § 101-11.508. Information formerly in Subpart 101-11.5 is included in the new § 101-11.508.

Rod Kregen
ROD KREGEN

Acting Administrator of General Services

Attachment

Remove Pages

i-ii Contents of Subchapter B
1129

Insert Pages

i-ii Contents of Subchapter B
1129-1130.3

(a) On each page appears the number and date (month and year) of the FPMR Amendment which transmitted it.

(b) Retention of FPMR Amendments and removed pages will provide a history of FPMR issuances and facilitate determining which regulations were in effect at particular times.

(c) Arrows printed in the margin of a page indicate material changed, deleted, or added by the FPMR Amendment cited at the bottom of that page. Where insertion of new material results in shifting of unchanged material on following pages, no arrows will appear on such pages but the FPMR Amendment transmitting such new pages will be cited at the bottom of each page.

→ or ← — Line on which change begins.
→ or ← — Line on which change ends.

→ or ← — Line on which change both begins and ends.

→ or ← — Opposite a blank space, indicates deletion of a division of material (section, subsection, or paragraph).

(d) In the numbering system, all FPMR material is preceded by digit 101-. This simply means that it is Chapter 101 in Title 41 of the Code of Federal Regulations. It has no other significance. The digit(s) before the decimal point indicates the part; the digits after the decimal point indicate, without separation, the subpart and section, respectively, the latter always in two digits; and the digit(s) after the dash indicates the subsection. For example:

CHAPTER	PART	SUBPART	SECTION	SUBSECTION
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[RESERVED]

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MANAGEMENT

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Subpart 101-11.5—Microfilming

§ 101-11.500 Scope of subpart.

This subpart provides the (a) procedures for requesting authority to dispose of microfilmed records, (b) standards to be used by Federal agencies for microfilming records, (c) criteria for using microfilm copies of permanent records, (d) standards for storing microfilm copies of permanent records, and (e) information concerning microfilm services available from the National Archives and Records Service (NARS).

§ 101-11.501 Authority.

As provided in 44 U.S.C. chapters 29 and 33, the Administrator of General Services is authorized to (a) establish standards for the photographic and microphotographic reproduction of permanent records by agencies of the Federal Government with a view to disposal of the original records; (b) establish uniform standards within Government agencies for the storage and use of processed microfilm copies of permanent records that have been authorized for disposal; (c) develop and promote standards to improve the management of records; and (d) establish, maintain, and operate centralized microfilming services for Federal agencies.

§ 101-11.502 Definitions.

For the purpose of this Subpart 101-11.5, the following definitions shall apply:

(a) *Permanent record.* Any record (see 44 U.S.C. 3301) that has been determined by the Archivist of the United States to have sufficient historical or other value to warrant its continued preservation by the Government. Such determinations take the form of approved agency records retention plans or an approved offer to transfer records to the National Archives. A determination is not made merely by NARS approval of a comprehensive records disposal schedule that also lists records that are identified as "permanent" or "retain" by the agency but are not clearly certified as permanent by NARS.

(b) *Original microfilm.* Original microfilm is camera microfilm whether produced by customary or Computer Output Microfilm (COM) methods and regardless of emulsion or base.

(c) *Silver original microfilm.* Silver original microfilm is camera microfilm meeting the requirements of Federal Standard No. 125a; Film Photographic and Film, Photographic, Processed (for permanent record use).

(d) *Silver duplicate negative.* A silver duplicate negative is a second generation negative microfilm meeting the requirements of Federal Standard No. 125a whether produced from an original negative or from an original positive.

(e) *Silver master positive.* A silver master positive is a second generation positive microfilm meeting the requirements of Federal Standard No. 125a produced from either an original negative or from an original positive.

§ 101-11.503 Disposal of records.

§ 101-11.503-1 Request for authority.

(a) Federal agencies proposing to preserve permanent records on microfilm and dispose of the original records shall request authority on Standard Form 115, Request for Authority to Dispose of Records, in accordance with Subpart 101-11.4.

(1) Agencies whose proposed microfilming procedures meet the standards in § 101-11.504 shall include on the SF 115 the following certification:

This certifies that the records described on this form shall be microfilmed in accordance with the standards set forth in 41 CFR 101-11.504 and that the (select appropriate words: Silver original microfilm, silver duplicate negative microfilm, or silver master positive microfilm) plus one positive copy of each microfilm shall be (select appropriate phrase. Offered to the Office of the National Archives (NN), National Archives and Records Service, General Services Administration, Washington, DC 20408; offered to the Federal Records Center (city and State); or transferred to an approved agency records center at (city and State)).

(2) Agencies whose proposed microfilming procedures do not meet the standards in § 101-11.504 shall include on the SF 115 an outline of the system, film, and processing which they propose to use.

(b) Agencies proposing to retain the silver original microfilm copy of permanent records after disposal of the original records must include as part of this re-

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request a statement that facilities meeting the standards of § 101-11.506 will be used to store the silver original microfilm. These facilities shall be subject to initial and subsequent inspection by NARS. Such agencies shall also indicate when the first inspection of microfilm required by § 101-11.506-8 will be conducted.

§ 101-11.503-2 Deposit of copies.

(a) The silver original microfilm copy or either of (1) a silver duplicate negative copy or (2) a silver master positive copy; plus one positive copy of each microfilm of permanent records microfilmed by an agency shall be verified for completeness and accuracy and then shall be either transferred to an approved agency records center or offered to either the Office of the National Archives (NN), National Archives and Records Service, General Services Administration, Washington, DC 20408; or the Archives Branch in the Federal Records Center where the original permanent records would normally be retired.

(b) After acceptance of the agency offer by NARS, the agency shall forward the microfilm copies as soon as the project is completed or, in the case of larger continuing projects, when a substantial and readily identifiable portion is completed.

(c) The microfilm copies shall be accompanied by adequate descriptive material to enable NARS or agency file personnel to service the records with reasonable facility and by a certification by an agency official that the microfilm was produced in the normal course of agency operations and that care has been taken to insure that the microfilm is a complete and accurate copy of the original records.

§ 101-11.503-3 Deteriorating microfilm.

An agency having custody of a previously produced original microfilm (or, if the original microfilm is no longer in existence, the master copy) of permanent records shall prepare a silver duplicate negative copy for its own use, if required, when it finds that such copies are deteriorating or in danger of deterioration. The agency shall also offer an identical copy plus one positive copy as specified in this § 101-11.503-2.

§ 101-11.504 Standards for microfilming permanent records.

Federal agencies microfilming permanent records shall comply with the following standards which relate to the preparing and filming of permanent records, the selecting of film stock, and the processing of film.

§ 101-11.504-1 Preparing and microfilming permanent records.

(a) *General.* The integrity of the original records authorized for disposal shall be maintained by insuring that the microfilm copies are adequate substitutes for the original records and serve the purposes for which such records were created or maintained. The following measures and any others found necessary shall be observed in any Federal microfilming project to insure preservation of the integrity of the records:

(1) Copies shall contain all significant record detail shown on the originals;

(2) Copies of the records shall be so arranged, identified, and indexed that any individual document or component of the records can be located with reasonable facility;

(3) No photographic densities on negative copies higher than are required for the intended purposes shall be used. Where possible, densities on negative copies shall be between 1.0 and 1.2. On positive copies the background shall be kept as clear as practicable;

(4) A minimum resolution of 90 lines per mm. shall be obtained; and

(5) Military specifications and standards for microfilming and photographing engineering drawings and similar related documents shall be followed whenever applicable.

(b) *Roll microfilm.* (1) The photographic images at the beginning of each roll of microfilm shall include information identifying the agency and organization whose records it covers; the title of the records; the microfilm roll number; the security classification, if any; and, if possible, the inclusive dates, names, or other data identifying the first and last records on the roll; and

(2) Any indexes, registers, or other finding aids shall be microfilmed at the beginning of the records to which they relate.

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(c) *Other microforms.* (1) Microfilming systems for unit microfilm records shall be so designed and supervised that the resulting microfilm file is an accurate representation of the original records.

(2) Any indexes, registers, or other finding aids shall be microfilmed and located in a readily identifiable place within the collection of microfilmed records.

(3) Systems (e.g., COM) producing original permanent records on microfilm with no paper original shall be designed so that they produce microfilm which meets the standards of this Subpart 101-11.5.

§ 101-11.504-2 Microfilm stock.

The film stock used to make photographic or microphotographic copies of permanent records shall be safety-base permanent record film as specified in American National Standards Institute (ANSI) PH1.25, Specifications for Safety Photographic Film; PH1.28, Specifications for Photographic Films for Permanent Records; PH1.29, Methods for Determining the Curl of Photographic Film; and PH1.31, Method of Determining the Brittleness of Photographic Film, and shall comply with Federal Standard No. 125a. In order to afford adequate protection for permanent records, agencies using microfilm systems which do not produce an original microfilm meeting these standards for permanent records shall immediately make a silver duplicate negative or silver master positive which does meet the standards.

§ 101-11.504-3 Processing film.

The film used to make photographic or microphotographic copies of permanent records shall be so processed that the residual thiosulfate concentration shall be greater than zero but shall not exceed 1 microgram per square centimeter. An optimum concentration of 0.7 micrograms per square centimeter in a clear area is recommended. Agencies conducting their own microfilming program may determine whether their processed film meets this requirement by performing the tests specified in ANSI PH4.8; Methylene Blue Method for Measuring Thiosulfate and the Silver Densitometric Method for Measuring Chemicals in Films, Plates, and Papers; or by submitting a sample for testing from a clear

area of the film, measuring at least 2 square inches, to the Office of the Executive Director (NAF), National Archives and Records Service, General Services Administration, Washington, D C 20408. A charge of \$5 will be made for each sample tested, however, small numbers of samples will be tested by NARS without charge. COM-produced microfilm of permanent records shall meet the processing standards above. If the processing is to be of the reversal type it must be full photographic reversal and not the halide-type reversal.

§ 101-11.505 Criteria for using microfilm copies of permanent records.

The following criteria are required in using microfilm copies of permanent records:

(a) Original microfilm copies of permanent records shall not be used for reference purposes. Negative or positive copies of the original negative shall be used for reference purposes.

(b) Adequate measures shall be taken to keep the original microfilm clean and unscratched.

§ 101-11.506 Standards for storing microfilm copies of permanent records.

This section prescribes standards required for storing silver original microfilm copies or silver duplicate negative or silver master positive copies of permanent records.

§ 101-11.506-1 Reels and cores.

Microfilm stored in roll form shall be wound on cores or on reels of the type specified in ANSI PH5.6, Standard Dimensions for 100-foot Reels for Processed 16-mm. and 35-mm. Microfilm. The materials used for the cores and reels shall be noncorroding such as plastic compounds or nonferrous metals. The use of steel for reels shall be permitted provided the reels are well protected by lacquer, enamel, tinning, or other corrosion-resistant finish. Plastics and lacquers that might give off reactive fumes or exudations during storage shall not be used. The plastic materials must be free of peroxides. Paper strips or rubber bands shall not be used for confining film on reels or cores. The materials used shall not ignite, decompose, or develop reactive fumes and vapors.

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§ 101-11.506-2 Storage containers.

The microfilm shall be stored in a closed container made of such inert material as metal or plastic of proven quality. The container shall be sealed where needed to maintain prescribed humidity limits or to protect the film against gaseous impurities. If proper temperature and humidity controls are maintained as prescribed in § 101-11.506-4, and if there is good ventilation and clean air in the storage area, the containers need not be sealed. Open containers such as folding cartons may be used only if it has been established that the container material will have no adverse effect on the film over long periods of time.

§ 101-11.506-3 Storage rooms.

Agencies retaining original microfilm copies of permanent records shall provide a fire-resistive vault or room. The storage area shall not be used as an office or working area. No flammable material shall be stored in the storage area. For full protection against exposure to fire and associated hazards, fire-resistive safes or insulated containers shall be placed within fire-resistive vaults or rooms constructed in accordance with recommendations of the National Fire Protection Association in their publication NFPA 232, Protection of Records, 1970. Particular care shall be taken to insure that the provisions of this § 101-11.506 are applied effectively when original negative microfilm is stored in such places as underground installations and insulated file cabinets where a high humidity is probable.

§ 101-11.506-4 Environmental conditions.

The relative humidity of the storage vault or room shall not exceed 40 percent. Temperatures shall not exceed 70° F. Rapid and wide-range cycling of humidity or temperature shall be avoided and shall in no instance exceed ± 5 percent relative humidity or ± 5 ° F. in a 24-hour period. Where inactivity of the film permits, protection may be increased by conditioning and sealing the film at a lower humidity and/or storing the film at a lower temperature. Film stored at a lower relative humidity than 30 percent or a temperature lower than 60° F. shall be sufficiently warmed and reconditioned before use to avoid any possible damage in handling. If possible, approximately 0.05 inches of water pressure above atmospheric pressure shall be maintained within the room or vault and in the film inspection area by means of an independent air-conditioning system.

§ 101-11.506-5 Control of air conditioning.

Air conditioning shall be kept under sufficient control to meet the standards for temperature and humidity as specified in § 101-11.506-4. Dehumidifiers using desiccants shall not be used since, with circulating air in the storage area, there is a danger of abrasive or reactive dust particles settling on the film. Humidification before storage is not necessary unless the prevailing relative humidity in storage areas is less than 15 percent for long periods of time. Water trays or saturated chemical solutions shall not be used due to the serious danger of overhumidification.

§ 101-11.506-6 Protection against air-entrained impurities.

Solid particles that abrade the film or react on the image shall be cleaned from the air supplied to microfilm storage and associated rooms by the use of dry media mechanical filters or electrostatic precipitators. These filters shall have an arrestance or cleaning efficiency of at least 80 percent when tested with atmospheric air using ANSI PH5.4; Standard Practice for Storage of Processed Silver Gelatin Microfilm; which cites the report to the National Board of Fire Underwriters for the installation of air conditioning, warm air heating, air cooling, and ventilating systems. Filtering media, casings, and castings, if used, shall be of the noncombustible type.

§ 101-11.506-7 Gaseous impurities.

Such gaseous impurities as sulfur dioxide, hydrogen sulfide, and others that may cause deterioration of the microfilm shall be removed from the air. Silver-gelatin microfilm shall not be stored with other types of film in the same room or in rooms connected by ventilating ducts because gases given off by the non-silver-gelatin microfilm may damage or destroy the safety-film base.

§ 101-11.506-8 Microfilm inspection.

At approximately 2-year intervals, a 1 percent sample of randomly selected rolls of microfilm shall be inspected. For each biennial inspection, a different lot sample shall be chosen, allowing some overlapping of inspection to note any changes in previously inspected samples. The guidelines in the National Bureau of Standards Handbook 96, Inspection of Processed Photographic Record Films for Aging Blemishes, shall be followed. The results of such inspections shall be reported to the Office of the National Archives (NN), National Archives and

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Records Service, General Services Administration, Washington, DC 20408, 30 days after the inspection is completed. Reports shall include at least the (a) quantity of microfilm of permanent records on hand; i.e., number of rolls, microfiche, jackets, etc.; (b) quantity of microfilm inspected; (c) condition of the microfilm; and (d) corrective action required, if necessary.

§ 101-11.507 Standards for microfilming nonpermanent records.

(a) Agencies that wish to microfilm their own nonpermanent records should conduct a cost-benefit analysis according to their internal regulations and procedures to insure that the project or system is cost effective.

(b) Agencies that wish to microfilm their own nonpermanent records in order to dispose of the original records shall request authority in accordance with Subpart 101-11.4. The request for authority on SF 115 shall indicate whether the original records are required to be held less than 10 years or 10 years or more.

(c) After approval of the request the microfilming shall be done in accordance with the following:

(1) For nonpermanent records to be held 10 years or more, the standards set forth in § 101-11.504 for microfilming, in § 101-11.505 for using microfilm, and in § 101-11.506 for storing microfilm copies of permanent records should be used where applicable to insure the availability of the information for the period of time required.

(2) Nonpermanent records to be held less than 10 years may be microfilmed in accordance with agency standards and requirements for the retention of the records, including the option of using any film, processing system, or storage containers the agency may select.

§ 101-11.508 Centralized microfilm services.

The following microfilming services of the National Archives and Records Service are available to Federal agencies:

(a) Technical advice and assistance in establishing and promoting agency projects and programs to preserve records, reduce volume, provide security copies, make duplicate copies, or improve information retrieval systems;

(b) A central reimbursable microfilming service for Federal agencies including the preparation, indexing, and filming of records, inspection of film, and labeling of film containers; and

(c) Information on current uses of microfilm, new microfilm techniques, and developments in the field.

§ 101-11.508-1 Procedures for arranging for reimbursable services.

Federal agencies desiring microfilm services should contact the appropriate regional National Archives and Records Service. Agencies in the greater St. Louis area (Missouri only) should contact the Manager, National Personnel Records Center, St. Louis, MO 63132. Agencies in the District of Columbia, Maryland, Virginia, and West Virginia, should contact the Manager, Washington National Records Center, Suitland, MD 20409. Elsewhere in GSA Region 3, agencies should contact the Region 3 National Archives and Records Service. An agreement of services to be provided will be negotiated before work is begun. This agreement may be in the form of an agency purchase order. The agency shall provide instructions that specify (a) location of the records to be filmed; (b) description of the records to include the volume, size, physical condition, filing arrangement, and the nature and frequency of additions, changes, and deletions, etc.; (c) size and format of the film to be used; (d) type of camera to be used and the reduction ratio at which the documents are to be filmed; (e) type of reader to be used; and (f) number and type (silver, diazo, venticular) of reference copies.

§ 101-11.508-2 Fees for microfilming services.

Microfilming services normally available are: 16-mm. rotary, 16-mm. planetary, and 35-mm. planetary microphotography; negative film processing; 16-mm. cartridge loading; aperture card and microthin jacket mounting; and diazo duplication. The fees for these services will be announced in GSA bulletins issued and signed by the Archivist of the United States. For services not listed, contact the person or office shown in § 101-11.508-1.

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